

PEIFFER WOLF CARR & KANE, APLC

Peiffer Wolf Carr & Kane, APLC ("Peiffer Wolf") was founded in 2013. Peiffer Wolf handles a wide variety of complex civil litigation, including many class actions and mass actions. It has been appointed class counsel in a substantial number of cases. Since its inception, Peiffer Wolf has acquired talented attorneys from coast to coast, becoming a national litigation firm.

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ATTORNEY PROFILES

Joseph Peiffer is the founder and managing partner of Peiffer Wolf. His practices consist of representing individuals and institutions that have been harmed by investment banks and brokerage firms, prosecuting ERISA class actions, and representing victims of labor trafficking and those who have suffered catastrophic injury. He has co-authored a treatise *Litigating Business and Commercial Tort Cases*, which is published by Thompson West.

Joe has also taught and lectured extensively. He co-created and taught a class entitled *Storytelling and Advocacy* at Loyola Law School. Also, at Loyola Law School, he has taught a course entitled “The Basics of Arbitration” and he also serves as an adjunct professor teaching *Trial Advocacy*. He has guest lectured at Tulane Law School in its *Securities Regulations* class and Syracuse Law School on securities arbitration. He has spoken at many national conventions on a variety of topics including prosecuting large, multi-client claims, broker’s deficient advice to retire and FINRA arbitration.

Joe has represented hundreds of individual retirees against their brokers in FINRA arbitration. The highlights of this practice include representing 32 Exxon retirees in a 90-day FINRA arbitration against Securities America that resulted in a \$22 million verdict — one of the largest ever awarded by a FINRA arbitration panel. He has also represented hundreds of Xerox and Kodak retirees against their broker resulting from the broker’s fraudulent advice to retire and subsequent unsuitable investments. He has represented hundreds of families in cases involving private placements and Ponzi schemes.

His financial services fraud practice also includes representing hospitals and municipalities around the country in cases involving their issuance of auction rate securities. He also serves as co-lead counsel on several ERISA class actions against large financial services firms alleging that they did not prudently invest retirement money and had conflicts of interest. He also is on the plaintiffs’ steering committee in a nationwide antitrust class action involving the illegal tying of cable set-top boxes to the provision of premium cable services. Joe also currently represents hundreds of clients in cases involving serious injuries sustained by pharmaceutical products.

Finally, he represents victims of human trafficking and labor exploitation. In one such case, the plaintiffs have alleged that the defendants have failed to pay overtime, improperly deducted for employee housing, and held the plaintiffs’ passports while in the United States. He has travelled extensively to the Philippines for this case and another one involving a rig explosion where two of his clients working on a rig owned by Black Elk exploded.

Joe was one of three Louisiana lawyers ranked by Chambers USA for securities litigation in 2011. He has been named a 2013 Rising Star by his peers in the Class Action Administration organization. He has been quoted by USA Today, Wall Street Journal, the Associated Press, New York Times, New York Daily News, The Los Angeles Times, Business Week, Investment News, and many other publications. Mr. Peiffer has also appeared on CNN. He was named as one of the fifty Leaders in Law by New Orleans City Business Magazine.

He has also successfully risen into the leadership of several national bar associations. He twice served as the chairman of the Business Torts Section of the American Association for Justice. He currently serves as President of PIABA – a nationwide bar association of lawyers that represent individuals and institutions in arbitrations to recover money lost by investment banks and brokerage firms.

Joe graduated from Tulane School of Law, *cum laude*, in 1999. While at Tulane, he served on the Tulane Law Review and was involved with the Tulane Legal Assistance Program. Prior to attending Tulane, he graduated from Bowling Green State University in 1996 with a degree in communications.

Adam Wolf is a Shareholder in the firm's Los Angeles and San Francisco offices. He handles complex civil lawsuits, litigates constitutional and civil rights claims, and represents clients in appeals. Adam has argued in the United States Supreme Court, in addition to numerous federal and state courts of appeals. He has been class counsel in numerous cases.

Adam started the firm's embryo-loss practice group. He has litigated and resolved a substantial number of claims by clients who suffered the devastating loss of their embryos and eggs. Adam has represented more than 100 people against their fertility centers.

Adam graduated, *cum laude*, from the University of Michigan Law School. He is a graduate, also *cum laude*, of Amherst College. At Michigan, Adam was the Editor-in-Chief of the *Michigan Journal of Race & Law*, a member of the *Michigan Journal of Law Reform*, and a recipient of the Dores McCree Award. Following law school, Adam had the honor of serving as a judicial law clerk to The Honorable Ronald Lee Gilman, on the U.S. Court of Appeals for the Sixth Circuit, and The Honorable Robert J. Timlin, on the U.S. District Court for the Central District of California.

A nationally recognized litigator, Adam has been quoted in hundreds of domestic and international newspapers, including the *New York Times*, *Washington Post*, *Los Angeles Times*, *USA Today*, and *Wall Street Journal*. Additionally, he has appeared on numerous television and radio programs, including Good Morning America, CBS Evening News, ABC World News, NBC Nightly News, CNN Headline News, National

Public Radio, and the BBC.

Adam lectures around the country regarding constitutional law, civil rights, and the Supreme Court. He has been honored to have received various awards and accolades, including *California Lawyer* Attorney of the Year and the Mary Beth Tinker Award.

Daniel Carr is a Shareholder working out of the firm's New Orleans office. Daniel represents a diverse client base in a variety of commercial disputes, complex litigation, and arbitration. Daniel handles numerous state and federal lawsuits for individuals and businesses, and he currently represents investors, and municipalities in FINRA arbitration proceedings. Together with Joe Peiffer, Daniel also serves as co-counsel in several ERISA and antitrust class action lawsuits and represents individuals in litigation involving pharmaceutical products, labor exploitation, fraudulent investments, and wrongful death.

Daniel is a member of several nationwide bar associations, including PIABA (Public Investors Arbitration Bar Association), and he previously served on the board of directors of the Business Torts Section of the American Association for Justice.

Daniel received his law degree from Tulane School of Law, summa cum laude, in 2006. While at Tulane, he was elected Senior Articles Editor for the Tulane Law Review, and he worked as a fellow in the Legal Analysis Program. Following law school, Daniel was privileged to serve as a law clerk to Judge Jacques L. Wiener, Jr., on the United States Court of Appeals for the Fifth Circuit.

Jason Kane is a securities attorney practicing out of the firm's Upstate New York office. He has extensive experience representing investors in Financial Industry Regulatory Authority arbitrations and New York State Courts.

Jason graduated from the State University of New York at Geneseo in 2004 having earned his B.A. in Economics. Thereafter, Jason attended the Syracuse University College of Law, and received his Juris Doctorate, Cum Laude, in 2007.

While attending the Syracuse University College of Law, Jason served as a form and accuracy editor for the Syracuse Journal of International Law and Commerce. He also gained valuable experience as a student law clerk for Magistrate Judge George H. Lowe and served as a volunteer at the United States Attorney's Office in the Northern District of New York where he assisted the Assistant United States Attorneys prosecute their cases.

Jason has represented hundreds of investors in Upstate New York and around the country in some of the highest profile securities cases originating out of Upstate New

York. He has recovered millions of dollars in FINRA arbitration and mediation while representing individuals against their former brokers and brokerage firms. He often assists his victimized clients through the regulatory investigations that result from the large-scale scams perpetrated by their unscrupulous brokers.

Brandon Wise joined the firm after managing his own solo practice that focused on class, collective, and employment matters. Brandon has successfully litigated numerous collective and class action cases, and has served as class or collective counsel in the following resolved collective and class matters, among others:

Volz, et al. v. Provider Plus, Inc., et al., a Fair Labor Standards Act (“FLSA”) collective action involving 45 collective action members. The confidential settlement agreement was approved by Judge Mummert within hours of its submission to the court.

Carver, et al. v. Foresight Energy LP, et al., WARN Act litigation brought on behalf of a class of former coal miners. Mr. Wise secured the first reported decision, a significant legal victory, regarding the WARN Act’s “natural disaster” exception. 2016 WL 3812376 (Opinion entered July 12, 2016). After the defendants’ motion to dismiss was denied, the parties reached a class-wide settlement of \$550,000 for a class of 75 employees.

Volz v. Tricorp management Company, et al., a FLSA collective in class action where Mr. Wise was appointed Class Counsel. The parties reached a \$350,000 settlement for bartenders, servers, hosts, and other tipped employees of the largest T.G.I. Friday’s franchisee in the Midwest.

Paul Lesko joined Peiffer Wolf in August of 2016, co-founding the St. Louis office of the firm with Brandon Wise. His practice consists of representing individuals, startups, and small companies that have been harmed by larger corporations. With his biotech background, Paul focuses on prosecuting complex technological cases, including patent and class actions. Paul has specific experience litigating GMO crop cases as well as cases focusing on pesticide and herbicide technologies. Paul recently was appointed to the Plaintiffs’ Executive Committee of *In re Dicamba Herbicides Litigation*, a multi-district litigation consolidating numerous claims related to damages caused by the herbicide Dicamba.

REPRESENTATIVE CASES

Peiffer Wolf attorneys were appointed class counsel or serve as counsel in numerous class and collective actions, including:

Whitley, et al. v. J.P. Morgan Chase & Co., et al., a class action lawsuit on behalf of retirement investors against J.P. Morgan Chase & Co. and various other J.P. Morgan entities over the sale and administration of the JP Morgan Stable Value Fund. Received preliminary approval for a class wide settlement of \$75 million.

In re Dicamba Herbicides Litigation, Peiffer Wolf attorney Paul Lesko has been appointed to the Plaintiffs' Executive Committee of this multi-district litigation consolidating numerous claims related to damages caused by the herbicide Dicamba.

Nevarez v. City of Santa Clara, a class action lawsuit on behalf of all people with mobility disabilities who attended Levi's Stadium over a four-year period. Peiffer Wolf is co-Class Counsel for classes seeking both damages and injunctive relief.

In re Cox Enterprises, Inc. Set-Top Cable Television Box Antitrust Litigation, Peiffer Wolf is on the plaintiff's steering committee of this multi-district litigation consolidating numerous regional antitrust class actions involving allegations that Cox illegally tied rental of its cable-set top boxes to the provision of cable television services. The court recently certified the first regional class that it considered, and Peiffer Wolf was approved as co-class counsel in that action.

In re Pacific Fertility Litigation, a putative class action on behalf of hundreds of families whose embryos and eggs were potentially compromised after a problem with the vacuum seal of a storage tank. Peiffer Wolf is Interim Class Counsel.

Clark v. University Hospitals, a putative class action on behalf of people whose embryos and eggs were destroyed by a temperature malfunction in a storage tank. Peiffer Wolf is on the Executive Committee.

Volz, et al. v. Provider Plus, Inc., et al., a Fair Labor Standards Act ("FLSA") collective action involving 45 collective action members. The confidential settlement agreement was approved by Judge Mummert within hours of its submission to the court.

Baricuarto, et al. v. Industrial Personnel and Management Services, Inc. et al., Peiffer Wolf was one of two co-leads in a case involving labor violations committed against Filipino pipe fitters and welders in the Gulf of Mexico. The case involved years of litigation and extensive foreign travel, including depositions in the Philippines, and resulted in a multi-million-dollar settlement.

Amador v. California Culinary Academy, a class action case representing a certified class of former students of for-profit school California Culinary Academy regarding class members' student loans. Peiffer Wolf was appointed to represent the thousands of class members with respect to their student loans.

Bilewicz v. FMR LLC, a case brought on behalf of current and former employees of Fidelity Investments, alleging that Fidelity violated ERISA by offering exclusively high-fee Fidelity mutual fund products in its retirement plan and by repeatedly adding funds to the plan with little or no track record. Plaintiffs further alleged that the Fidelity plan's fees are very high for a multi-billion dollar plan, and Fidelity has failed to follow sound fiduciary practices for multi-billion dollar plans. This case was successfully settled, and Peiffer Wolf was approved as co-class counsel in that action.

Carver, et al. v. Foresight Energy LP, et al., WARN Act litigation brought on behalf of a class of former coal miners. PRW Legal attorney secured the first reported decision, a significant legal victory, regarding the WARN Act's "natural disaster" exception. 2016 WL 3812376 (Opinion entered July 12, 2016). After the defendants' motion to dismiss was denied, the parties reached a proposed class-wide settlement of \$550,000 for a class of 75 employees.

Volz v. Tricorp Management Company, et al., a FLSA collective in class action where PRW Legal attorney was appointed class counsel. Settled for \$350,000, for bartenders, servers, hosts, and other tipped employees of the largest T.G.I. Friday's franchisee in the Midwest.

Hanson v. Berthel Fisher & Company Financial Services, Inc., et al., a securities class action filed on behalf of investors in a real estate investment program that raised approximately \$26 million from the investing public. Claims were predicated upon the role played by Berthel Fisher, the managing broker-dealer of the program that allegedly organized and oversaw the securities offering by the Program while aware of misrepresentations and omissions in the Program's offering documents.

Booth et al. v. Strategic Realty Trust, Inc., et al., a securities class action where plaintiffs contended that throughout the offering period, the Strategic Realty Trust offering materials contained materially inaccurate and incomplete statements about the company's investment strategy, internal controls, and governance mechanisms. Plaintiffs alleged that their investments lost value as a result of defendants' acts and omissions.

Peiffer Wolf currently serves as counsel for plaintiffs in numerous other class and mass actions, including:

Thornhill v. Walden University, et al., a purported class action accusing for-profit university of deceptive marketing of its doctoral programs. Peiffer Wolf represents well over 300 doctoral students in this litigation.

Albers, et al. v. Delloite & Touche LLP, et al., a mass securities action where Peiffer Wolf represents over 100 investors with claims exceeding \$100 million in action alleging violations of state securities laws.

Thieriot v. Celtic Ins. Co., 2011 WL 1522385 (N.D. Cal. Apr. 21, 2011) a class action case where a class was certified and settlement was approved on behalf of a class of people who were overcharged by a health insurer in violation of state law.

Yao-Yi Liu et al. v. Wilmington Trust Company, a class action lawsuit on behalf of investors of a fraudulent scheme against Wilmington Trust alleging that Wilmington Trust breached its duties as an escrow agent and aided the perpetrators of the scheme.

In re Platinum and Palladium Antitrust Litigation, a case involving claims against BASF Metals, Goldman Sachs, HSBC, and Standard Bank. Plaintiffs allege that Defendants were involved in an unlawful price-setting process of platinum and palladium in violation of the Sherman Act.

Fouts v. Bank of Nova Scotia, New York Agency et al., a class action filed on behalf of holders of debt with interest rates linked to the US Treasuries auction rates, alleging violations of the federal antitrust and commodities laws arising from manipulation of the prices of Treasury securities and related financial instruments through collusion by the primary dealers of U.S. Treasury Department securities.

In re Fidelity ERISA Float Litigation, a case involving claims brought by participants in various ERISA plans administered by Fidelity, on behalf of those plans, alleging that Fidelity violated ERISA by improperly using "float" income received as interest on plan assets to pay itself fees and failing to crediting the amount of that float income to the plans or their participants.

American Chemicals & Equipment Inc. 401(K) Retirement Plan v. Principal Management Corporation, et al., a case involving claims brought by ACE 401(k) Plan, on behalf of the shareholders of six mutual funds, against the investment advisors for those funds. Plaintiff alleges that the defendants breached their statutory fiduciary duty under Section 36(b) of the Investment Company Act of 1940 ("ICA"), 15 U.S.C. § 80a-35(b), by charging unfair and excessive fees for their advisory services and retaining excess profits derived from economies of scale.

Jennifer Roth v. Life Time Fitness, Inc., a class action lawsuit filed on behalf of fitness instructors seeking unpaid wages for work that was required by Defendants. Plaintiff alleges that fitness instructors were not compensated for the work they performed before and after fitness classes.

Carol Prock v. Thompson National Properties, LLC, et al., a securities class action filed on behalf of investors in the TNP 6700 Santa Monica Boulevard, a real estate investment program that raised approximately \$17 million from the investing public. Claims are predicated upon alleged material misrepresentations and omissions in the program's offering documents by its sponsor and officers and directors of the sponsor.

In re Dental Supplies Antitrust Litigation, a class action lawsuit filed on behalf of dental practices, orthodontic practices, and dental laboratories alleging that the country's three largest distributors of dental supplies and equipment agreed not to compete on price and caused injury to plaintiffs in the form of artificially inflated prices.

Matthew Fero et al. v. Excellus Health Plan Inc., a class action lawsuit filed on behalf of plaintiffs whose personal information was compromised as a result of a data breach that is alleged to have gone undetected for a 600-day period.

Peiffer Wolf has also handled numerous other complex multi-plaintiff litigations, including:

Auction Rate Securities Litigation, Peiffer Wolf attorneys recovered over \$50 million on behalf of numerous municipalities and hospitals (e.g., Houston, Cleveland, Reno, Pasadena, Baylor College of Medicine, etc.) in arbitrations involving the issuance of Auction Rate Securities. Defendants included nearly every major investment bank.

Diebold v. Northern Trust / Louisiana Firefighters v. Northern Trust, Peiffer Wolf attorneys served as class counsel in these two companion antitrust class actions, that resulted in settlements of more than \$60 million for a class of investors and government retirement plans that sued Northern Trust over violations of its fiduciary duty concerning securities lending.

Adams v. Securities America, Joe Peiffer was one of the lead attorneys who conducted a 90-day trial resulting in a \$23 million verdict on behalf of 32 Louisiana and Mississippi investors. This case is one of the top 10 FINRA awards ever handed down against a solvent defendant. Joe ultimately represented over 150 Louisiana and Mississippi residents in this matter and settled for an amount the defendant insisted remain confidential.

In re: Medical Capital, Joe Peiffer was one of three attorneys in the country selected by his peers to lead the individual claims against Securities America and Ameriprise. As a result of the co-lead's efforts, the Court rejected a \$24 million no opt-out settlement. Once this settlement was rejected, Securities America and Ameriprise ultimately paid over \$150 million to settle the class and individual claims.